



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/033,146	10/27/2001	Mingte Chen	M-11528-3P US	7132

60975 7590 11/17/2006

CSA LLP  
4807 SPICEWOOD SPRINGS RD.  
BLDG. 4, SUITE 201  
AUSTIN, TX 78759

EXAMINER

JOO, JOSHUA

ART UNIT	PAPER NUMBER
----------	--------------

2154

DATE MAILED: 11/17/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

10/033,146

Applicant(s)

CHEN ET AL.

Examiner

Joshua Joo

Art Unit

2154

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 17 October 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-55 and 58-67 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-55, 58-67 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Notice of Informal Patent Application
- ☐ Other: \_\_\_\_\_

***Detailed Action***

1. Claims 1-55, 58-67 are presented for examination.

**Continued Examination Under 37 CFR 1.114**

2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 10/17/2006 has been entered.

**Response to Arguments**

3. Applicant's arguments with respect to claims 1-55, 58-67 have been considered but are moot in view of the new ground(s) of rejection.

**Claim Rejections - 35 USC § 102**

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5. Claims 1-3, 6-14, 16-17, 19-20, 22-23, 25-31, 33-34, 36-42, 44-45, 47-53, 55, 58, and 60-66 are rejected under 35 U.S.C. 102(e) as being anticipated by Gupta et al, US Patent #6,763,384 (Gupa hereinafter).

Art Unit: 2154

6. As per claim 1, 16, 20, 23, 33, 34, 44, 45, 55, and 58, Gupta teaches the invention as claimed including a method for communication, Gupta's teachings comprising:

controlling a user interface presented by a web browser comprising:

registering the web browser as available to receive an asynchronous message, wherein the web browser is not blocked waiting for the asynchronous message (Col 5, lines 49-56. Register to receive messages.); and

pushing instructions to cause a web server to push an asynchronous message to the web browser in response to an incoming event, wherein the incoming event is an event other than a request for information from the web server (Col 6, lines 54-61. Notification server sends message to clients based on messages/events from application servers.) ,

the web browser presents a user interface change in response to the asynchronous message (Col 6, lines 60-61. Display messages.), and

the incoming event is received by a communication server (Col 6, lines 54-59. Application server detects messages/events and sends messages/events to the notification server.).

7. As per claim 19, Gupta teaches the invention as claimed including a method for communication, Gupta's teachings comprising:

establishing a first connection between a web browser and a web server (Col 5, lines 49-53; Col 6, lines 59-61. Client communicates with notification server.);

establishing a second connection between the web server and a business process server (Col 6, lines 54-59. Notification server connected to application server.);

controlling a user interface presented by the web browser comprising:

registering the web browser with the business process server (Col 5, lines 31-35, 41-45; Col 6, lines 54-56. Register to receive messages.);

Art Unit: 2154

providing the web server with an asynchronous message to push to the web browser, the providing being performed by the business process server (Col 6, lines 54-61. Send messages/events to notification server.) and the providing being performed in response to an incoming event, wherein the incoming event is an event other than a request for information from the web browser (Col 6, lines 54-56. Detect messages/events of interest.); and

causing the web server to push the asynchronous message to the browser (Col 6, lines 54-61. Send notification message to clients.); wherein the web browser performs a user interface change in response to the asynchronous message (Col 6, lines 60-61. Display messages.); and

the incoming event is received by a communication server (Col 5, lines 31-35; Col 6, lines 54-56. Detection of messages/events by application server. Col 6, lines 35-39. Change in bid.).

8. As per claim 22, Gupta teaches the invention as claimed including a method for communicating, Gupta's teachings comprising:

controlling a user interface presented by a web browser comprising:

causing the web browser to provide a wait request to a web server, wherein the wait request is associated with the web browser and a target from which an asynchronous message originates (Col 5, lines 49-56; Col 8, lines 15-18. Register to receive messages from a list of desired messages from a website.);

generating the asynchronous message, the asynchronous message identifying the web browser as a recipient of the asynchronous message, the generating being performed by the target (Col 6, lines 54-61. Application server detects message/event of interest.);

providing the asynchronous message to the web server (Col 6, lines 54-61. Application server passes message to notification server.); and

Art Unit: 2154

causing the web server to push the asynchronous message to the web browser in response to an incoming event, wherein the incoming event is an event other than a request for information from the web server (Col 6, lines 54-61. Notification server sends message to clients based on messages/events from application servers.),

the web browser presents a user interface change in response to the asynchronous message (Col 6, lines 60-61. Display messages.); and

the incoming event is received by a communication server (Col 5, lines 31-35, 41-45; Col 6, lines 54-56. Application server detects messages/events and sends messages/events to the notification server).

9. As per claim 2, Gupta teaches the method of claim 1 further comprising: generating the asynchronous message (Col 6, lines 59-61; Col 8, lines 37-40. Send messages. It is inherent that the messages are generated in order to sent to the client.).

10. As per claim 3, Gupta teaches the method of claim 1 further comprising: preparing to receive the asynchronous message (Col 6, lines 59-61. Client receives and displays messages. Col 7, lines 10-13. Server opens connection with client.).

11. As per claims 6, 25, 36, 47, and 60, Gupta teaches the invention comprising:

request providing instructions to cause the web browser to provide a wait request to the web server, the wait request being associated with the web browser (Col 5, lines 49-56; Col 8, lines 15-18. Register to receive messages with web site.);

generating instructions to generate the message, the message identifying the wait request, wherein the identifying identifies the web browser as a recipient of the message (Col 5, lines 49-56; Col 8, lines 22-26. Provide identity of client requesting notification messages.); and

message providing instructions to provide the message to the web server (Col 8, lines 30-33. Message/event sent to server.).

12. As per claim 7, Gupta teaches the method of claim 6, wherein causing the web browser to provide the wait request comprises: downloading requesting instructions to the web browser, wherein downloading causes the web browser to execute the requesting instructions (Col 5, lines 60-Col 6, lines 9. Download client process and invoke client process automatically or manually.).

13. As per claims 8, 26, 37, 48, and 61, Gupta teaches the invention comprising:  
storing instructions to store a reference to a callback function with information from the wait request (Col 5, lines 49-56; Col 8, lines 18-24. Registers receiving identifier. Col 8, lines 15-17. Enroll to receive messages.); and  
using instructions to use the reference to call the callback function when the message is provided to the web server, wherein the callback function pushes the message (Col 8, lines 34-40. Sends events/messages received from application server using receiving identifier of client.).

14. As per claims 9, 27, 38, 49, and 62, Gupta teaches the invention comprising: context providing instructions to provide the callback function with context information, the context information identifying the web browser (Col 5, lines 41-56; Col 8, lines 18-24. Registers receiving identifier and list of desired messages. Col 8, lines 15-17. Enroll to receive messages.).

15. As per claims 10, 11, 28, 39, 50, and 63, Gupta teaches the invention comprising:  
assigning instructions to assign the wait request to a connection between the web server and a business process server (Col 6, lines 12-24. Notification server may refer to application server to

Art Unit: 2154

determine recipients. Col 8, lines 34-37. Determine recipients for notification when provided with messages/events.); and

listening instructions to listen to the connection for the message (Col 6, lines 33-35. Information notification server of messages/events from application server.).

16. As per claims 12, 29, 40, 51, and 64, Gupta teaches the invention comprising: calling instructions to call a callback function associated with the web browser when the message is received, wherein the callback function pushes the message (Col 5, lines 49-56; Col 8, lines 18-24. Registers receiving identifier. Col 8, lines 15-17. Enroll to receive messages. Col 8, lines 34-40. Sends events/messages received from application server using receiving identifier of client.).

17. As per claims 13, 30, 41, 52, and 65, Gupta teaches the invention comprising:  
reference storing instructions to store a reference to the callback function (Col 5, lines 41-56; Col 8, lines 18-24. Registers receiving identifier and list of desired messages. Col 8, lines 15-17. Enroll to receive messages.) and

reference using instructions to use the reference for calling the callback function (Col 6, lines 54-56. Identify events/messages of interest to clients. Col 8, lines 34-40. Send events/messages received from application server using receiving identifier of client.);

18. As per claims 14, 31, 42, 53, and 66, Gupta teaches the invention comprising:  
context storing instruction to store a second reference to context information, the context information identifying the web browser (Col 5, lines 54-56. Identifier could be address and port with the protocol.) and



context using instructions to use the second reference for providing the context information to the callback function (Col 8, lines 34-40. Send events/messages received from application server using receiving identifier of client.).

19. As per claim 17, Gupta teaches the method of claim 16, wherein the message includes an action instruction to cause the web browser to perform the action (Col 6, lines 59-61. Display message.).

### **Claim Rejections - 35 USC § 103**

20. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

21. Claims 15, 18, 32, 43, 54, and 67 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gupta, view of Boyle et al, US Patent #6,138,158 (Boyle hereinafter).

22. As per claims 15, 18, 32, 43, 54, and 67, Gupta does not specifically teach of causing a second user interface object to issue a sound to capture the user's attention and presenting a screen pop of data; and bringing a web browser window to a front of screen. Boyle teaches of pushing data to mobile devices where upon receiving message, the device produces a sound to capture the user's attention and a notification is prompted to the screen (Col 6, lines 5-6; Col 10, line 59-Col 11, line 14).

23. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings Gupta and Boyle because the teachings of Boyle to produce a sound and display a notification on the screen would improve the system of Gupta by making the user aware of received notification messages (Col 10, lines 59-61).

24. Claims 4, 5, 21, 24, 35, 46, and 59 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gupta, in view of Omoigui, US Patent #6,694,352 (Omoigui hereinafter).

25. As per claim 21, Gupta teaches the invention as claimed including a method for communicating, Gupta's teachings comprising:

controlling a user interface presented by a web browser comprising:

causing the web browser to provide a wait request to a web server, the wait request being associated with the web browser (Col 5, lines 49-56. Register to receive messages.);

identifying the message type; associating the wait request with the message type, wherein the associating identifies the web browser as a recipient of the asynchronous message (Col 8, lines 30-49. Identify recipients, i.e. identifier of clients, based on message type. Col 8, lines 12-14. Provide list of desired messages from different sites.); and

pushing the asynchronous message to the web browser in response to an incoming event, wherein the incoming event is an event other than a request for information from the web server (Col 6, lines 54-61. Notification server sends message to clients based on messages/events from application servers.), and

the browser presents a user interface change in response to the asynchronous message (Col 6, lines 60-61. Display messages.); and

the incoming event is received by a communication server (Col 6, lines 54-59. Application server passes messages/events to the notification server.).

26. Gupta teaches substantial features of the claimed invention including identifying a message type, and associating the message type with a client identifier as a recipient of the message. However, Gupta does not specifically teach identifying a source of an asynchronous message; and associating the wait

Art Unit: 2154

request with the source, wherein the associating identifies the web browser as a recipient of the asynchronous message

27. Omoigui teaches a similar system for providing notifications comprising: identifying a source of a message, and associating the source of the message with a user as a recipient of the message (Col 9, lines 13-25; Col 11, lines 15-29).

28. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Gupta and Omoigui because the teachings of Omoigui to identify the source and associating the source of the message with a user as a recipient of the message would improve the system of Gupta by distinguishing messages received from different sources and determining which clients need to be send notifications (Col 11, lines 22-27).

29. As per claims 4, 5, 24, 35, 46, and 59, Gupta teaches the invention comprising:

providing instructions to cause the web browser to provide a wait request to the web server, the wait request being associated with the web browser (Col 5, lines 49-56; Col 8, lines 15-18. Register to receive messages with web site.);

identifying instructions to identify a message type (Col 5, lines 11-14. Receive message. Col 5, lines 49-56; Col 8, lines 15-18. Use received message to identify clients.); and

associating instructions to associate the wait request with the message type, wherein the associating identifies the web browser as a recipient of the message (Col 6, lines 15-24; Col 8, lines 34-

39. Determine recipients by using list of desired messages with list of intended clients.).

30. Gupta does not specifically teach of identifying a source of the message and associating the wait request with the source. Omoigui teaches a similar system for providing notifications comprising:

Art Unit: 2154

identifying a source of a message, and associating the source of the message with a user as a recipient of the message (Col 9, lines 13-25; Col 11, lines 15-29).

31. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Gupta and Omoigui because the teachings of Omoigui to identify the source and associating the source of the message with a user as a recipient of the message would improve the system of Gupta by distinguishing messages received from different sources and determining which clients need to be send notifications (Col 11, lines 22-27).

### **Conclusion**

32. A shortened statutory period for reply to this Office action is set to expire **THREE MONTHS** from the mailing date of this action.

33. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Joshua Joo whose telephone number is 571 272-3966. The examiner can normally be reached on Monday to Thursday 8AM to 5PM and every other Friday.

34. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nathan J. Flynn can be reached on 571 272-1915. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

35. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair->

Application/Control Number: 10/033,146

Page 12

Art Unit: 2154

direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

November 6, 2006  
JJ



NATHAN J. FLYNN  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2800